

The Financial Intelligence Centre Act (FICA): Client Due Diligence (CDD) Foreign Company

Client Identity/Registration Number

To comply with money laundering regulations, we require certain identification details and documents to be in place in order for an application to be processed. Incomplete details and documentation will delay the processing of an application and a business relationship cannot be formed until all documentation including any additional information (if requested), has been provided.

This form is to be completed when an application/alteration form does not provide for the required details.

Important:

Please submit the supporting documentation with this form.

For the purpose of this form:

- The term Policyholder also refers to Investment Owner and Contract Owner.
- The term Contribution Payer also refers to Premium Payer and Fund Provider.

1: Information of policyholder/outright cessionary/contribution payer/person acting on behalf of _____

Are you already a client? Yes No Momentum Metropolitan

1.1 Basic information

Name under which it is incorporated

Number under which it is incorporated

Address where it is situated for the purpose of its incorporation

Unit number (if applicable) Complex (if applicable)

Street number Street name or name of farm

Suburb or district

City or town Postal code

Country South Africa Z A If not South Africa [ZA], please specify the country code

Trading name under which it conducts business

Head office address

Postal code

Trading name in RSA

Business address in country of incorporation

Postal code

Physical business address in RSA

Unit number (if applicable) Complex (if applicable)

Street number Street name or name of farm

Suburb or district

City or town Postal code

South African Revenue Service (SARS) income tax reference number

If no registration number, explain why

1.2 Additional information

** All individuals ultimately holding a material interest in the capital of the company have to be identified and will require individual identity verification.

1.2.1 Details of Chief Executive Officer (CEO)/Managing Director (MD) for its affairs in SA

1. Full names													2. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					
3. Full names													4. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					
5. Full names													6. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					

1.2.2 Details of employees/persons authorised to act/transact with Momentum, Metropolitan on behalf of the company

1. Full names													2. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					
3. Full names													4. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					
5. Full names													6. Full names																
Identity/Passport number												Identity/Passport number																	
Physical address												Physical address																	
Capacity/Designation												Capacity/Designation																	
PEP			Yes						No						PEP			Yes						No					
DPIP			Yes						No						DPIP			Yes						No					
FPPO			Yes						No						FPPO			Yes						No					

1.2.3 Details of legal and natural persons entitled to exercise 25% or more of the voting rights at general meetings of the company

1. Full names						2. Full names					
Identity/Passport/Registration number						Identity/Passport/Registration number					
Physical address						Physical address					
Capacity/Designation						Capacity/Designation					
PEP	Yes		No		PEP	Yes		No			
DPIP	Yes		No		DPIP	Yes		No			
FPPO	Yes		No		FPPO	Yes		No			
3. Full names						4. Full names					
Identity/Passport/Registration number						Identity/Passport/Registration number					
Physical address						Physical address					
Capacity/Designation						Capacity/Designation					
PEP	Yes		No		PEP	Yes		No			
DPIP	Yes		No		DPIP	Yes		No			
FPPO	Yes		No		FPPO	Yes		No			
5. Full names						6. Full names					
Identity/Passport/Registration number						Identity/Passport/Registration number					
Physical address						Physical address					
Capacity/Designation						Capacity/Designation					
PEP	Yes		No		PEP	Yes		No			
DPIP	Yes		No		DPIP	Yes		No			
FPPO	Yes		No		FPPO	Yes		No			

1.2.4 Details of shareholders, as per the latest audited financial statements (Ultimate Beneficial Ownership)

1. Full names						2. Full names								
Identity/Passport/Registration number						Identity/Passport/Registration number								
Physical address						Physical address								
Percentage				.		%	Percentage				.		%	Y
Capacity/Designation						Capacity/Designation								
PEP	Yes		No		PEP	Yes		No						
DPIP	Yes		No		DPIP	Yes		No						
FPPO	Yes		No		FPPO	Yes		No						
3. Full names						4. Full names								
Identity/Passport/Registration number						Identity/Passport/Registration number								
Physical address						Physical address								
Percentage				.		%	Percentage				.		%	Y
Capacity/Designation						Capacity/Designation								
PEP	Yes		No		PEP	Yes		No						
DPIP	Yes		No		DPIP	Yes		No						
FPPO	Yes		No		FPPO	Yes		No						

5. Full names		6. Full names	
Identity/Passport/Registration number		Identity/Passport/Registration number	
Physical address		Physical address	
Percentage	 . %	Percentage	 . % Y
Capacity/Designation		Capacity/Designation	
PEP	Yes No 	PEP	Yes No
DPIP	Yes No 	DPIP	Yes No
FPPO	Yes No 	FPPO	Yes No

1.3 Anti-money laundering provisions

1.3.1 Source of Income/Wealth* (Policyholder)

Nature of business

Source of income/wealth is defined as funds received on a regular basis for work/services rendered or investment income.

1.3.2 Source of funds for investment/transaction* (Contribution payer)

<input type="checkbox"/> Business profits	Name of business	
<input type="checkbox"/> Sale of property	Address of sold property	
<input type="checkbox"/> Sale of assets	Description of what was sold	
<input type="checkbox"/> Sale of business	Registration number	
<input type="checkbox"/> Investment Savings	Source of capital/savings	
	Name of investment company	
	Account/contract number where the funds are held	
<input type="checkbox"/> Sale of shares	Entity detail	
	Quantity of shares sold	
<input type="checkbox"/> Donation	Source of donation	
<input type="checkbox"/> Other	Specify	

* The source of funds funding the transaction or new business investment will not always correspond with the source of income/wealth, e.g. an employed person may sell his/her property and invest the capital gained.

2: Verification documents

2.1 Verification of name and number under which it is incorporated and address where it is situated for the purpose of its incorporation

2.1.1 Official document issued by the country of incorporation witnessing its incorporation and bearing its name, number and address.

2.1.1 Verification of Chief Executive Officer/Managing Director for its affairs in SA

2.1.1.1 Please complete the checklist applicable to natural persons - FICA 001 (Section 1.1 & 1.2 & Section 2.1) for each Manager.

2.1.2 Verification of each person authorised to act/transact with Momentum, Metropolitan on behalf of the company

2.1.2.1 Resolution by the board authorising the conclusion of the contract and reflecting the names of persons authorised to conclude the transaction on behalf of the company (less than 3 months old); and

2.1.2.2 Please complete the checklist applicable to natural persons - FICA 001 (Section 1.1 & 1.2 & Section 2.1) for each authorised person.

2.2 Verification of Ultimate Beneficial Ownership

2.2.1 Verification of legal or natural persons, partners or trusts entitled to exercise 25% or more of the voting rights at the general meetings of the company

Please provide one of the options noted below:

2.2.1.1 Latest structure chart of entity; or
2.2.1.2 Latest audited Financial Statements; or
2.2.1.3 Rationale for the company and details of the structure; or
2.2.1.4 A copy of Director and shareholder register; or
2.2.1.5 Written confirmation of the company shareholding.

2.2.2 Verification of legal or natural persons, partners or trusts entitled to exercise 25% or more of the voting rights at the general meetings of the company

Please complete the appropriate checklist:

2.2.2.1 Natural persons - FICA 001 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.2 Private companies - FICA 002 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.3 Closed Corporations - FICA 003 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.4 Other legal persons - FICA 004 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.5 Trusts - FICA 005 (Section 1.1 & 1.2 & Section 2.1 & 2.2)
2.2.2.6 Partnerships - FICA 006 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.7 Foreign companies - FICA 007 (Section 1.1 & 1.2 & Section 2.1)
2.2.2.8 Listed companies - FICA 010

2.3 Verification of trade name and business address

Please attach one of the following, reflecting the trade name and business address:

2.3.1 A city council/municipal/electricity provider/utility/service bill (less than 3 months old); or
2.3.2 A lease or rental agreement/rental contract renewal (less than 12 months old); or
2.3.3 A property rates and taxes invoice (less than 3 months old); or
2.3.4 A mortgage statement (less than 3 months old); or
2.3.5 A Telkom land line, fiber or ADSL account (less than 3 months old); or
2.3.6 A short-term insurance schedule (less than 12 months old); or
2.3.7 Correspondence from a body corporate/share-block association (less than 3 months old); or
2.3.8 A bill/statement from a company contracted for an ongoing service at the property given as the business address. Examples of such services are security monitoring and armed response services that are regularly billing the business (less than 3 months old); or
2.3.9 A bank statement (less than 3 months old); or
2.3.10 Mobile account from service provider (less than 3 months old).

3: Verification of bank details

- If the account is not in the name of the policyholder, please complete and provide the documentation in accordance with the appropriate FICA checklists on the account holder (e.g. CC, Trust, Other legal entity, etc.).
- No payment received from a third party will be invested until the required documentation is received and reviewed.

Client Identity/Registration Number

3.1 Provide your bank account details if you have selected to have your contributions (single or recurring) collected from your bank account

Name of account holder

Name of bank

Branch code Branch name

Account number

Account type Current/Cheque Savings

3.2 If funds are paid directly into a Momentum or Metropolitan bank account

A proof of deposit is required and must indicate:

From which institution was the deposit made

Date of deposit D D M M Y Y Y Y Amount deposited

Source (account number) from where the funds originated

Name of account holder

The contract number for which the funds are intended

** We will not make payments to credit cards, market-linked accounts or third party accounts. Payments can only be made to the Policyholder's own bank account. No third party payments are permitted.

4: Protection of Personal Information

Momentum, Metropolitan are required to collect relevant information from each client for anti-money laundering and prevention of terrorist financing, for tax purposes according to the Intergovernmental Agreement ("the IGA"), and for reporting on these clients to the South African authorities where necessary.

We also collect personal information about you to offer you the best service. Your information is used for administrative, operational, audit, marketing, research, legal, statutory and record keeping purposes. We will take all reasonable steps necessary to secure the integrity of any personal information which we hold about you and to safeguard it against unauthorised access. We will not share this information outside of Momentum, Metropolitan, its associated groups or agents, without your explicit consent.

If you do not consent to us using your personal information, there may be delays for you or some instructions might not be carried out. You can have access to your information at any time and ask us to correct any information we have in our possession. Please feel free to write to us to obtain a copy of this information of which copies will be kept for a period of five years or more, as required by law.

5: Signature of client specified in Section 1

Name and surname of authorised signatory

Signature of authorised signatory

Date D D M M Y Y Y Y

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